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444 2633
5-31-2

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing) <div style="border: 1px solid black; border-radius: 50%; padding: 10px; display: inline-block;"> MAY 20 2002 PATENT & TRADEMARK OFFICE </div>		Application No.	09/833,163
		Filing Date	April 10, 2001
		First Named Inventor	Edwin Dair
		Group Art Unit	2633
		Examiner Name	Unassigned
Total Number of Pages in This Submission	12	Attorney Docket Number	3918P002XX4

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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 20px;"> RECEIVED MAY 23 2002 </div>
Remarks: Technology Center 2600		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William E. Alford, Reg. No. 37,764 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	<i>[Handwritten Signature]</i>
Date	May 7, 2002

CERTIFICATE OF MAILING/TRANSMISSION			
			May 7, 2002
Typed or printed name	Susan McFarlane		
Signature	<i>[Handwritten Signature]</i>	Date	May 7, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/17 (11-01)

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)- 2

Complete if Known

Application Number 09/833,163
Filing Date April 10, 2001
First Named Inventor Edwin Dair
Examiner Name Unassigned
Group/Art Unit 2633
Attorney Docket No. 3918P002XX4

METHOD OF PAYMENT (check one)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of the application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES

Total Claims 61
Independent Claims 7
Multiple Dependent
Extra Claims
Fee from below
Fee Paid

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

**or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920 *	112	920 *	Requesting publication of SIR prior to Examiner action	
113	1,840 *	113	1,840 *	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

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SUBMITTED BY

Name (Print/Type)

William E. Alford

Registration No.
(Attorney/Agent)

37,764

Telephone

(714) 557-3800

Signature

Date

05/07/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Our Docket No.: 003918.P002XX4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Edwin Dair, et al.

Application No.: 09/833,163

Filed: April 10, 2001

For: METHODS AND APPARATUSES
FOR MULTIBOARD FIBER OPTIC
MODULES AND FIBER OPTIC
MODULE ARRAYS

Examiner: Unassigned

Art Group: 2633

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

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Applicants in accordance with their duty of disclosure under 37 CFR §1.56 and in accordance with 37 CFR §1.97(c)(2), submit the enclosed PTO-1449 Forms. Pursuant to 37 CFR 1.98(d), copies of the patents, publications and other information listed on the enclosed Form PTO-1449 are not included herewith. Copies of these references can be found in prior U.S. Patent Applications upon which this application claims the benefit thereof.

Pursuant to 35 USC 120, the above referenced U.S. Patent Application claims the benefit of and is a continuation-in-part of Application No. 09/321,308, filed May 27, 1999.

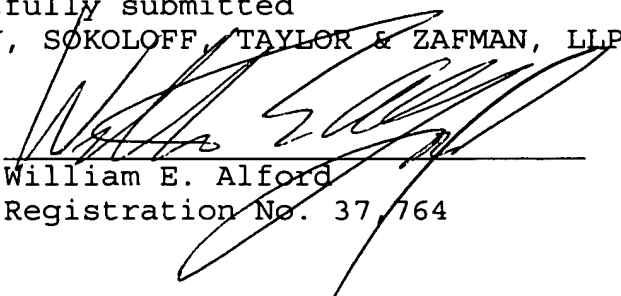
Pursuant to 37 CFR 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

This Information Disclosure Statement is being filed prior to a first office action or notice of allowance. Pursuant to 37 CFR §1.97(b), no fee is required for the filing of this Information Disclosure Statement.

Applicant respectfully requests that the cited documents be considered and that the enclosed PTO-1449 forms be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicant.

Respectfully submitted
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP

Dated: May 7, 2002

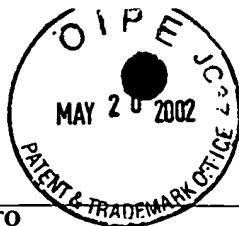

William E. Alford
Registration No. 37,764

CERTIFICATE OF MAILING

12400 Wilshire Boulevard,
Seventh Floor
Los Angeles, California 90025
(714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: May 7, 2002.


Susan McFarlane
5/7/02
Date



Substitute for Form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary.)</i>				Complete if Known	
				Application Number	09/833,163
				Filing Date	04/10/01
				First Named Inventor	Edwin Dair, et al.
				Group Art Unit	2633
				Examiner Name	Unassigned
Sheet	1	of	7	Attorney Docket Number	003918.P002XX4

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
	3,792,284	2/12/74	Kaelin			
	3,809,908	5/7/74	Clanton			
	3,870,396	3/11/75	Racki, et al.			
	3,976,877	8/24/76	Thilays			
	4,161,650	7/17/79	Caouette, et al.			
	4,229,067	10/21/80	Love			
	4,273,413	6/16/81	Bendikens, et al.			
	4,347,655	9/7/82	Zory, et al.			
	4,419,072	4/10/79	Smith, et al.			
	4,432,604	2/21/84	Schwab			
	4,446,515	5/1/84	Sauer, et al.			
	4,449,244	5/15/84	Kopainsky			
	4,461,537	7/24/84	Raymer, II, et al.			
	4,493,113	1/8/85	Forrest, et al.			
	4,533,209	8/6/85	Segerson, et al.			
	4,534,616	8/13/85	Bowen, et al.			
	4,535,233	8/13/85	Abraham			
	4,539,476	9/3/85	Donuma, et al.			
	4,542,076	9/17/85	Bednarz, et al.			
	4,549,782	10/29/85	Miller			

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FOREIGN PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Country	Class	Sub- class	Translation Yes No
	0 652 696 A1	11/2/94	EPO			

Examiner Signature		Date Considered	
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Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Substitute for Form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary.)</i>				Complete if Known	
				Application Number	09/833,163
				Filing Date	04/10/01
				First Named Inventor	Edwin Dair, et al.
				Group Art Unit	2633
				Examiner Name	Unassigned
Sheet	2	of	7	Attorney Docket Number	003918.P002XX4

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
	4,549,783	10/29/85	Schmachtenberg, III			
	4,553,811	11/19/85	Becker, deceased, et al.			
	4,580,295	4/1/86	Richman			
	4,595,839	6/17/86	Braun, et al.			
	4,612,670	9/16/86	Henderson			
	4,625,333	11/25/86	Takezawa, et al.			
	4,647,148	3/3/87	Katagiri			
	4,678,264	7/7/87	Bowen, et al.			
	4,720,630	1/19/88	Takeuchi, et al.			
	4,727,248	2/23/88	Meur, et al.			
	4,807,955	2/28/89	Ashman, et al.			
	4,840,451	6/20/89	Sampson, et al.			
	4,844,581	7/4/89	Turner			
	4,881,789	11/21/89	Levinson			
	4,897,711	1/30/90	Blonder, et al.			
	4,913,511	4/3/90	Tabalba, et al.			
	4,945,229	7/31/90	Daly, et al.			
	4,979,787	12/25/90	Lichtenberger			
	4,986,625	1/22/91	Yamada, et al.			
	4,989,934	2/5/91	Zavracky, et al.			

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FOREIGN PATENT DOCUMENTS

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				First Named Inventor	Edwin Dair, et al.
				Group Art Unit	2633
				Examiner Name	Unassigned
Sheet	3	of	7	Attorney Docket Number	003918.P002XX4

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
	5,005,939	4/9/91	Arvanitakis, et al.			
	5,011,246	4/30/91	Corradetti, et al.			
	5,039,194	8/13/91	Block, et al.			
	5,043,775	8/27/91	Lee			
	5,093,879	3/3/92	Bregman, et al.			
	5,099,307	3/24/92	Go, et al.			
	5,104,243	4/14/92	Harding			
	5,109,453	4/28/92	Edwards, et al.			
	5,117,476	5/26/92	Yingst, et al.			
	5,122,893	6/16/92	Tolbert			
	5,136,152	8/4/92	Lee			
	5,155,786	10/13/92	Ecker, et al.			
	5,159,190	10/27/92	Hohberg, et al.			
	5,168,537	12/1/92	Rajasekharan, et al.			
	5,202,943	4/13/93	Carden, et al.			
	5,241,614	8/31/93	Ecker, et al.			
	5,259,054	11/2/93	Benzoni, et al.			
	5,280,191	1/18/94	Chang			
	5,285,512	2/8/94	Duncan, et al.			
	5,289,345	2/22/94	Corradetti, et al.			

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	0 652 696 A1	11/2/94	EPO				

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Substitute for Form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary.)</i>				Complete if Known	
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				First Named Inventor	Edwin Dair, et al.
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Sheet	4	of	7	Attorney Docket Number	003918.P002XX4

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
	5,295,214	3/15/94	Card, et al.			
	5,337,396	8/9/94	Chen, et al.			
	5,337,398	8/9/94	Benzoni, et al.			
	5,345,524	9/6/94	Lebby, et al.			
	5,361,244	11/1/94	Nakamura, et al.			
	5,414,787	5/9/95	Kurata			
	5,416,668	5/16/95	Benzoni			
	5,416,870	5/16/95	Chun, et al.			
	5,416,871	5/16/95	Takahashi, et al.			
	5,416,872	5/16/95	Sizer, II et al.			
	5,428,704	6/27/95	Lebby, et al.			
	5,434,747	7/18/95	Shibata			
	5,446,814	8/29/95	Kuo, et al.			
	5,452,387	9/19/95	Chun, et al.			
	5,455,703	10/3/95	Duncan, et al.			
	5,462,630	7/11/95	Lebby, et al.			
	5,473,715	12/5/95	Schofield, et al.			
	5,475,783	12/12/95	Kurashima			
	5,482,658	1/9/96	Lebby, et al.			
	5,499,311	3/12/96	DeCusatis			

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FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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Sheet	5	of	7	Attorney Docket Number	003918.P002XX4

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
	5,499,312	3/12/96	Hahn, et al.			
	5,515,468	5/7/96	DeAndrea, et al.			
	5,528,408	6/18/96	McGinley, et al.			
	5,535,296	7/9/96	Uchida			
	5,537,391	8/9/94	Lebby			
	5,546,281	8/13/96	Poplawski, et al.			
	5,548,677	8/20/96	Kakii, et al.			
	5,550,941	8/27/96	Lebby, et al.			
	5,561,727	10/1/96	Akita, et al.			
	5,596,663	1/21/97	Ishibashi, et al.			
	5,636,298	6/3/97	Jiang, et al.			
	5,687,267	11/11/97	Uchida			
	5,708,743	1/13/98	DeAndrea, et al.			
	5,717,533	2/10/98	Poplawski, et al.			
	5,734,558	3/31/98	Poplawski, et al.			
	5,736,782	4/7/98	Schairer			
	5,751,471	5/12/98	Chen, et al.			
	5,767,999	6/16/98	Kayner			
	5,774,614	6/30/98	Gilliland, et al.			
	5,778,127	7/7/98	Gilliland, et al.			

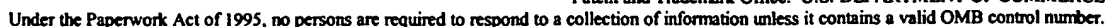
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for Form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary.)

Sheet	7	of	7
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Complete if Known

Application Number	09/833,163
Filing Date	04/10/01
First Named Inventor	Edwin Dair, et al.
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Examiner Name	Unassigned
Attorney Docket Number	003918.P002XX4

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

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¹ Unique citation designation number.